

# SOFiE Sort Batch - Presentation

SOFiE Sort Batch	
Date	Version
01/2019	1.6
<ul style="list-style-type: none"> <li>- Description of a SOFiE Sort Batch environment</li> <li>- Practical examples</li> <li>- FAQ</li> </ul>	

## Table of contents

1. Introduction
2. What's new for users
3. What's new on IT side
  - Example A : Half-batch – Transport's batch
  - Example B : Full-batch - Crypt and Transport
4. FAQ for Users
5. FAQ for IT

## 1. Introduction

The SOFiE application was developed by the Six Payment Services (ex Cetrel) company in order to answer several tenders and offer a solution to secure transmissions of sensitive data between Cetrel and customers.

SOFiE has an automatic configuration mode commonly called « SOFiE Batch ». In the past, this mode of configuration was implemented in several large companies having an important flow of data, mainly with the assistance of Six.

SOFiE is divided in 2 variants :SOFiE Business and SOFiE Sort. SOFiE Business is managed by Six and is used in 3 main categories : Seculine, ACD (FATCA/CRS) and specific transfers with Six (domiciliation, credit cards, others). SOFiE Sort is managed by CetrelSecurities and is dedicated to the Legal Reporting for the CSSF, BCL and CAA.

U IT, aware of the increasing demand of legal reports (SOFiE Sort), resulting in a constant augmentation of the number of reports to provide, decided to specialize in this domain in order to offer to all of the SOFiE Sort customers a full range of dedicated services and pre/post-treatment tools.

One of the services U IT propose is the setup of a fully automated SOFiE batch environment , accompanied with service or maintenance contracts and a set of tools useful for the IT in charge or for the end users..

The purpose of this document is to clarify the benefits of a SOFiE batch implementation compared to the interactive mode (GUI), from the user's point of view as from the technical one (IT). This document will help the reader to understand the utility and/or the benefits of such a solution.

Finally, we have included a detailed FAQ answering a series of questions and detailing the optional services we offer.

## 2. What's new for users

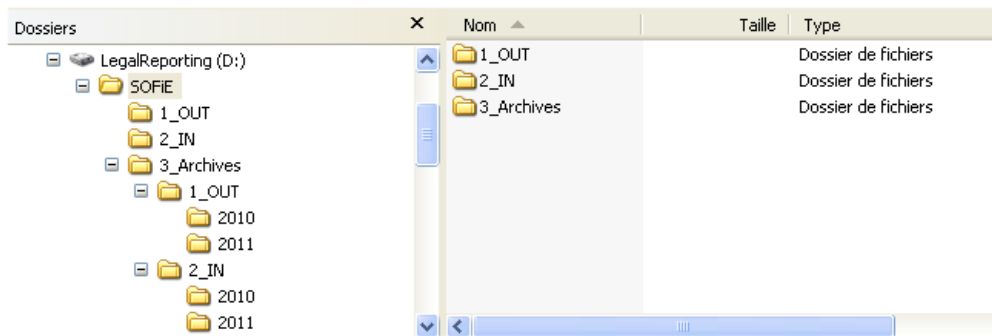
Over time, the volume of data passing through this secure channel has increased. Henceforth, the use of SOFiE application became, for many, a daily task.

A SOFiE batch environment reduces user's interactions and actions to a minimum :

- No more login, execution or use of the application.
- Users do not see any more the application which becomes transparent.

**Using the application comes down to the deposit of file(s) in a specific directory and the verification of received files in another directory.**

Below a practical and concrete example :



Users copy the Legal Reporting files in the SOFiE's Out directory :

**D:\SOFiE1\_OUT**

... and verify the presence of the returned files in the incoming directory :

**D:\SOFiE2\_IN**

In addition, SOFiE systematically carries out a backup of any file sent, this copy can be placed in the selected directory. In our example it is « **D:\SOFiE3\_Archives1\_OUT** » - freedom of choice then to classify these reports according to convenience. For instance : a subdirectory per years which can split up into months, type of report, etc.

Management of user rights on the directory structure may be required when the application is shared by several departments and that some reports contain sensitive information.

### 3. What's new on IT side

A light infrastructure has to be set up : 1 or 2 SOFiE Batch dedicated servers, or even shared with other services. Many configuration options are possible depending on the choices made.

The main option is to choose between a full batch or half-batch environment.

If you hesitate, we suggest to proceed gradually. It's possible to "batch" first the SOFiE Transport user, then move toward a full batch if appropriated.

Direct benefits of a full batch environment :

- Automated task – time-saver.
- No user training to the application.
- No more user's handling errors.
- No more local installations or user's workstation maintenance during updates.
- Centralized application, access to the application is limited to some directories.
- Application's know-how is now only under the responsibility of the IT department.

File's workflow can be summarized as the following :

#### Sending :

- Original file (A) placed in directory C1 –OUT directory
- Crypt => Crypted file (A+) placed in the C2 directory
- FTPS => Crypted file (A+) copied from C2 to directory T1
- Transport => File A+ crypted again (A++) and sent to Cetrel's server

#### Receiving :

- Transport => Feedback file B++ downloaded and decrypted (B+) in T2 directory
- FTPS => Feedback file (B+) copied from T2 to directory C3
- Crypt => Feedback file (B+) decrypted and placed in C4 directory – IN directory

*Cx = directory on the Crypt server, or accessible from it*

*Tx = directory on the Transport server, or accessible from it*

In the 2 following examples we do not detail the automated workflow but present it from the user's point of view, describing the remaining actions users have to perform

**Important notice :** *in our 2 examples we respect the CSSF Circular 08/334 which states that the Crypt user must, practically, be isolated or protected from any intrusion into your computer network, unlike the SOFiE Transport user which has to communicate outside the network.*

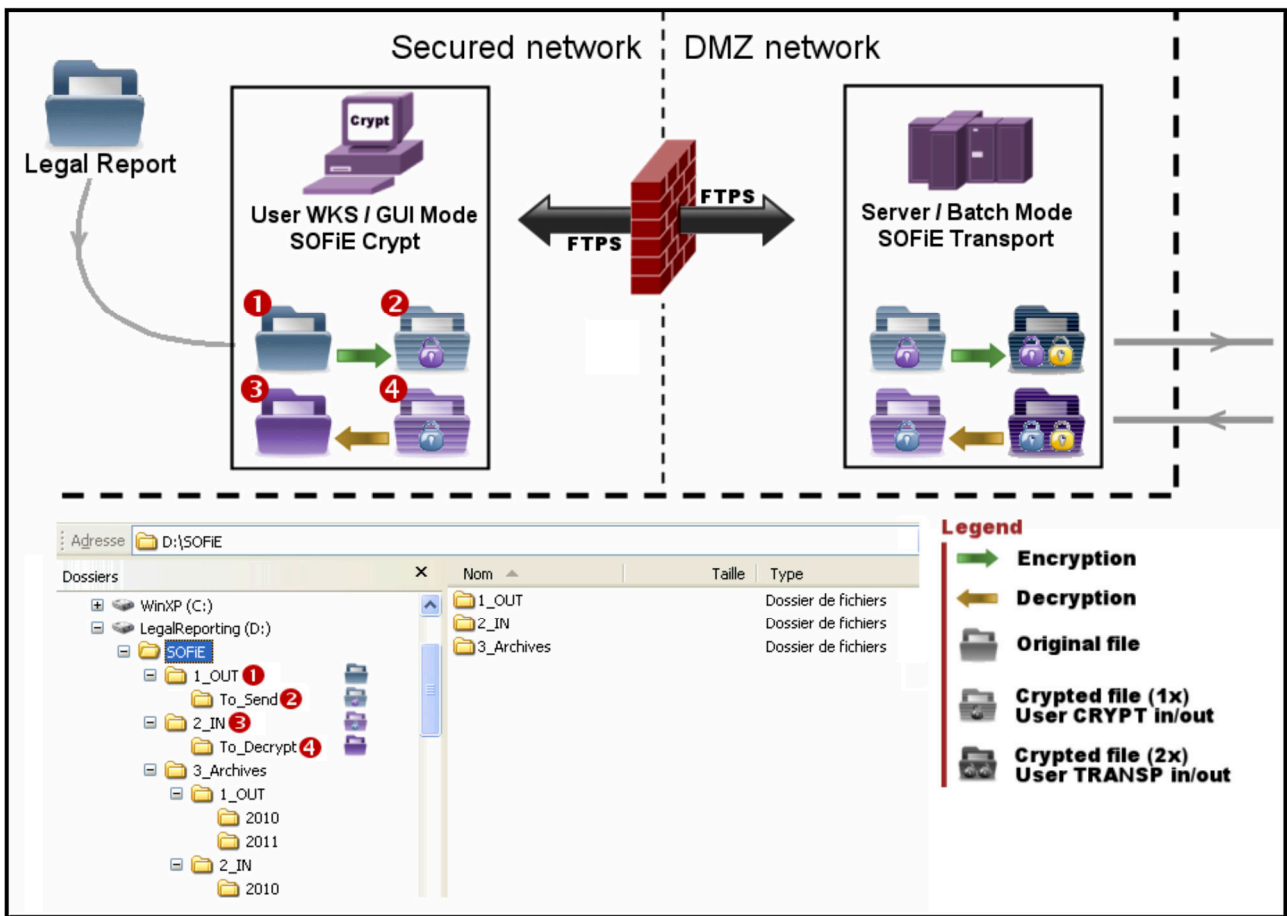
*Practically, the two accounts cannot theoretically coexist on the same machine, a internal solution must be implemented to pass the reports between the two SOFiE accounts. But recent security solution, like a proxy server, can efficiently protect a server to allow to install both accounts (Crypt and Transport) on the same machine.*

## Example A : Half-batch – Transport’s batch

The users still have to use SOFiE Crypt to encrypt their reports.

Once crypted, a dedicated script (FTPS) transfers the files to the “OUT” directory of the Transport server which automatically treats and sends them.

Feedback files are automatically downloaded by the Transport server. As for sending, a script transfers these files from the “IN” directory of the Transport to the selected directory – preferably a directory easily accessible by the users who handles the Crypt account.



In practice for the user :

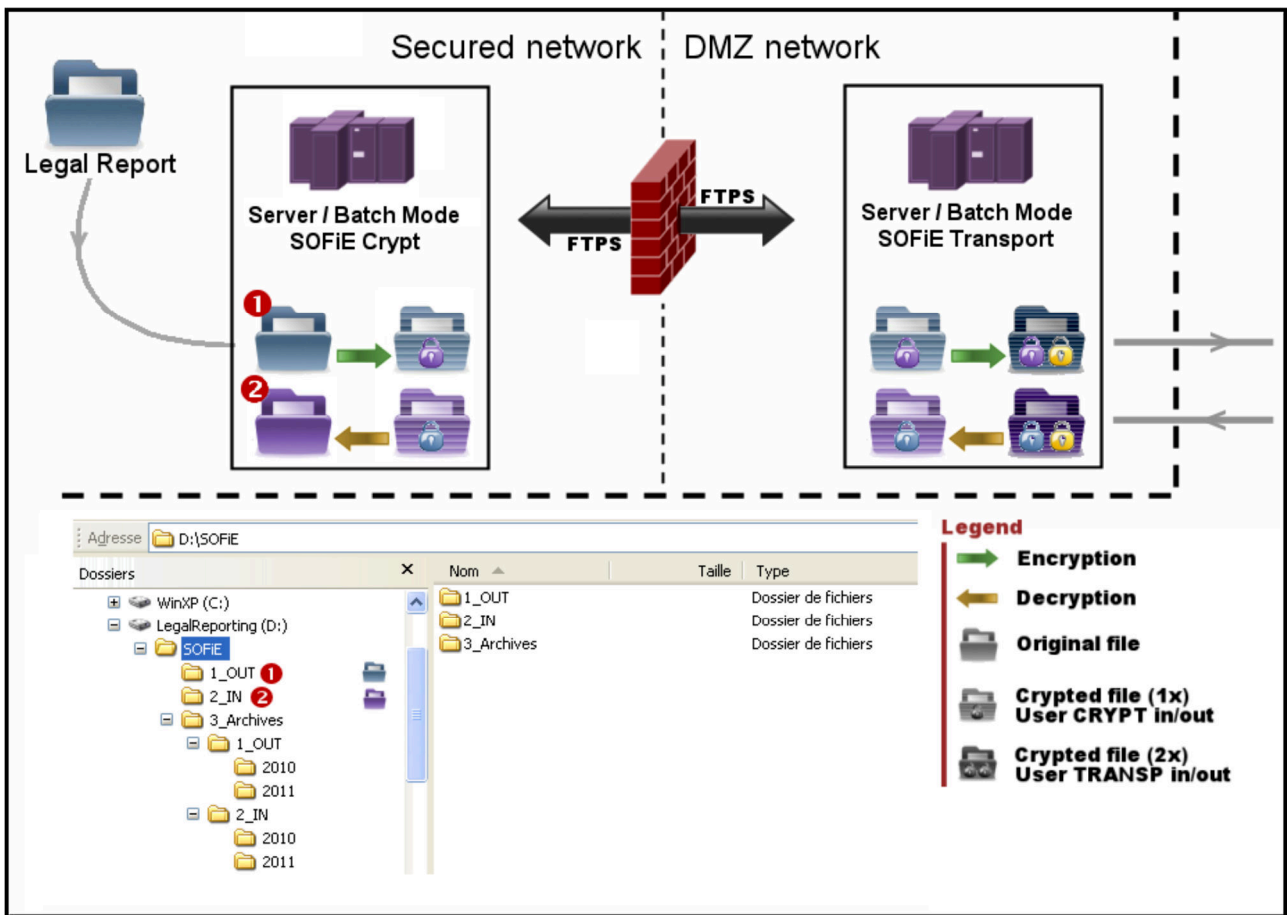
- ① Original report file to encrypt placed in D:\SOFiE\1\_OUT
- ② User encrypts the file which is placed in D:\SOFiE\1\_OUT\To\_Send  
*Auto : FTPS script copy the crypted file from the Crypt to the Transport server*  
*Auto : SOFiE Transport batch sends the file and retrieves any feedback file available*  
*Auto : FTPS script copy the feedback crypted file from the Transport to the Crypt server*
- ④ User decrypts the file located in D:\SOFiE\2\_IN\To\_Decrypt
- ③ User verifies the feedback file in D:\SOFiE\2\_IN.

## Example B : Full-batch - Crypt and Transport

The users do not interact anymore with the SOFiE application.

Within the minutes following the deposit of the file in the “OUT” directory, the automated data processing sequence takes over until the sending of the file by SOFiE Transport.

Same automation for the feedback files, the user has only to verify their presence in the directory « IN » and eventually controls them.



In practice for the user :

- ❶ Original report file to encrypt and send placed in D:\SOFiE\1\_OUT  
**Auto** : SOFiE Crypt batch treats and encrypts the file  
**Auto** : FTPS script copies the crypted file from the Crypt to the Transport server  
**Auto** : SOFiE Transport batch sends the file and retrieves any feedback file available  
**Auto** : FTPS script copies the feedback crypted file from the Transport to the Crypt server  
**Auto** : SOFiE Crypt batch decrypts the file and places it in D:\SOFiE\2\_IN
- ❷ User verifies the feedback file in D:\SOFiE\2\_IN.

## **4.FAQ for Users**

**Some users need to use the SOFiE Crypt account in order to generate some specific reports, or to test new reports. Is it possible to setup a GUI-based environment without disturbing the batch environment ?**

Yes, there are various ways to implement it without disrupting the batch environment. We advise to use a copy of the SOFiE profil and centralized it for all the Crypt users. One constraint is that each time the users will change the SOFiE password in GUI mode (each 3 months as it's an obligation), some files will have to be synchronized with the batched environment.

**If a SOFiE GUI user enters 3 times a bad password, does it block the batch environment ?**

No, a SOFiE account can't be blocked. After three unsuccessful attempts in GUI mode, the application closes. It just need to be restarted and try to log in again.

**We have different departments that need to send files via SOFiE. In return, can SOFiE classify and place these files in different directories according to the name (dispatch the feedback files) ?**

No, SOFiE has a unique directory where it deposits files once decrypted. This function remains possible using a tool U IT developed that we named the "Dispatcher".

**I have another SOFiE account (SOFiE Sort or SOFiE Business). Can I consider to install it on the same server ?**

Yes, and we advise to install all your SOFiE accounts on the same servers. This server would become dedicated all your legal reporting obligations.

**How can users verify that their reports are well sent to the regulators ?**

U IT developed an interactive tool named the Informer which displays a real time status of the daily activity (or previous day). The tool can also be used to confirm the good sending of a report. Note that for the majority of the reports, the regulators stated that the users must base on the feedbacks received from them are the official documents which state that a report was well received on their side.

**Can users perform searches on specific reports sent during a specific period ?**

We developed another tool for the users named "Digger". It allows the users to search for any report or type of report sent during a configurable date range and export the results in a CSV/excel format

**What does the feedback contain, why are there more than 1 feedback for some type of reports.**

There are 2 types of feedbacks : technical ones and business ones. The technical feedbacks are just small XML files which have the following role : to acknowledge the good reception of a specific report. Business feedbacks are linked to the data provided in the report sent and must be verified by the users which may proceed with corrections and re-sending of the report.

### **Does U IT provide “legal reporting” business support ?**

U IT is used to advise their customers on many aspect linked to the technical sending of the reports. We do not provide help on the core business reporting (the data to include in the reports), but can help for all the other matters. We have a dedicated option in our service contracts for a direct communication between users and U IT. (by default we only maintain contact with the IT department of our customers)

## **5.FAQ for IT**

### **Does U IT provide any service or maintenance contract after a batched installation ?**

U IT provides with Service or Maintenance contracts. Service contract are under SLA which guarantee our help and resolution of any problem in due time.

### **Our colleague responsible of SOFiE just left, can we have temporary warranties and/or help the time we train or find a substitute ?**

Yes, you can opt for a temporary service contract from us to respond to such situations. This is normally a yearly contract but It can be adapted depending on the requirements. This period can be considered as a long SOFiE training for any internal resources (employee) that would be assigned as application owner of SOFiE.

### **How SOFiE is scheduled ?**

Two choices are possible :

Use SOFiE’s own scheduler.

Use an external/system scheduler.

U IT uses the default windows scheduled tasks for the purpose. This allows more controls on the processes, facilitate the pre or post treatment operations, and on the optimization side, this avoids to have the application running permanently during non-business hours, the nights or the week-ends.

### **Does SOFiE need a lot of system resources ?**

No, SOFiE uses a few system resources. Process is mainly sleeping between activities. However, if the size of some files to be sent exceed a few megabytes, it’s preferable to carry out a speed and performance test during activity (encryption & decryption) to ensure that processing times are corrects. In the case of a shared server, it is advised to verify the impact on other services offered by the server when processing large files.

### **What is the installation report ?**

Technical document which summarizes the SOFiE Batch installation and configuration. Fully detailed, it proves to be useful when looking for problems (it can be sent to Six’s helpdesk), and is the ideal document when SOFiE is managed by a team, or for a transfer of knowledge.

**Note :** This report is provided in both PDF and MS Word format in order to be able to edit it in case of changes



**I have another SOFiE account (SOFiE Sort or SOFiE Business). Can I consider to install it on the same server ?**

Yes, and we advise to install all your SOFiE accounts on the same servers. This server would become dedicated all your legal reporting obligations.

**Can I use a virtual machine for the SOFiE servers ?**

Yes, with the advantage to facilitate the implementation of a DRP server if required.

**Is it mandatory to use a Windows server OS for SOFiE Batch ?**

No, SOFiE Batch can run just as easily on a single workstation that is part of the list of compatible systems. But for critic environments, we recommend using a server OS. SOFiE also runs on Unix based system but this OS is rarely chosen by the customers.

**Can I control the SOFiE Batch updates ?**

Yes, there are different ways to do so. It's usually recommended to let the application updates as soon as a new version is available, but we usually recommend whether :

- to control them in order to be able to react to any problem which could be caused by the update.
- a specific update process is scheduled (usually once a week)

**Is it simple to downgrade and come back to an older version of the application ?**

Yes, in batch mode, it just needs to move some files and copy a directory.

**Who performs these implementations ?**

The services are provided by the U IT team composed of 3 SOFiE experts. Alexandre Thilmany works with SOFiE since 2007, first as SOFiE expert within Cetrel's helpdesk during 4 years, then for CetrelSecurities to test new SOFiE release. He created U IT in 2010 and from 2012 to 2014 worked as the first person of contact for all SOFiE Sort contracts and customer relations. U IT works in close collaboration with Six and CetrelSecurities in order to offer to all customers a range of services specifically dedicated to the SOFiE application.

**Does SOFiE also backup/archive the feedback files ?**

Yes, SOFiE will make a backup of a file which must still be decrypted, **but** the decrypted file (and thus readable) will only have one copy placed in the output directory.

Practically: without needing to develop custom scripts, SOFiE maintains an archive of all feedback files in encrypted format. These files can, if necessary, be decrypted again manually